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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/669,760	09/25/2003	Robert Baseman	YO9-99-496 (00280588BA)	4384

7590 09/21/2004

Whitham, Curtis & Whitham  
Reston International Center  
Suite 900  
11800 Sunrise Valley Drive  
Reston, VA 20191

EXAMINER
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MEINECKE DIAZ, SUSANNA M

ART UNIT	PAPER NUMBER
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3623

DATE MAILED: 09/21/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

RECEIVED

OCT 1 2004

GROUP 3600

**Office Action Summary**

Application No.

10/669,760

Applicant(s)

BASEMAN ET AL. *SL*

Examiner

Susanna M. Diaz

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 25 September 2003.
- 2a) ☐ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 20-28 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) \_\_\_\_\_ is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☒ Claim(s) 20-28 are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>9/25/03</u> . | 6) <input type="checkbox"/> Other: _____  |

***Election/Restriction***

1. Restriction to one of the following inventions is required under 35 U.S.C. 121:
  - I. Claims 20-26, drawn to optimizing a supply chain model, classified in class 705, subclass 7.
  - II. Claims 27-28, drawn to identifying optimal supply chain designs, classified in class 705, subclass 7.
2. The inventions are distinct, each from the other because of the following reasons:

Inventions I and II are related as subcombinations disclosed as usable together in a single combination. The subcombinations are distinct from each other if they are shown to be separately usable. In the instant case, invention I has separate utility such as performing the actual steps of optimizing a particular supply chain design without having to select from among various supply chain designs that have already been optimized. See MPEP § 806.05(d).
3. Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group II, restriction for examination purposes as indicated is proper.

*If Invention I from above is elected, then it is requested that Applicant further elect one of the species listed below.*

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4. This application contains claims directed to the following patentably distinct species of the claimed invention:

**Species I:** Designing a supply chain model by performing one of the optimization techniques listed in steps (a) through (c) of claim 20. (Claims 20-25)

**Species II:** Designing a supply chain model by estimating a loss in profitability associated with designing a supply chain to reduce risk. (Claim 26)

Applicant is required under 35 U.S.C. 121 to elect a single disclosed species for prosecution on the merits to which the claims shall be restricted if no generic claim is finally held to be allowable. Currently, no claims are generic.

Applicant is advised that a reply to this requirement must include an identification of the species that is elected consonant with this requirement, and a listing of all claims readable thereon, including any claims subsequently added. An argument that a claim is allowable or that all claims are generic is considered nonresponsive unless accompanied by an election.

Upon the allowance of a generic claim, applicant will be entitled to consideration of claims to additional species which are written in dependent form or otherwise include all the limitations of an allowed generic claim as provided by 37 CFR 1.141. If claims are added after the election, applicant must indicate which are readable upon the elected species. MPEP § 809.02(a).

Should applicant traverse on the ground that the species are not patentably distinct, applicant should submit evidence or identify such evidence now of record showing the species to be obvious variants or clearly admit on the record that this is the

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case. In either instance, if the examiner finds one of the inventions unpatentable over the prior art, the evidence or admission may be used in a rejection under 35 U.S.C. 103(a) of the other invention.

5. A telephone call was not made to request an oral election to the above restriction requirement because the restriction is deemed to be complex.

Applicant is advised that the reply to this requirement to be complete must include an election of the invention to be examined even though the requirement be traversed (37 CFR 1.143).

6. Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(b) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(i).

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Susanna M. Diaz whose telephone number is (703) 305-1337. The examiner can normally be reached on Monday-Friday, 9 am - 5 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tariq Hafiz can be reached on (703) 305-9643.

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Receptionist whose telephone number is (703)308-1113.

Any response to this action should be mailed to:

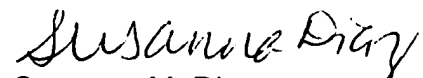
**Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450**

or faxed to:

**(703)305-7687** [Official communications; including  
After Final communications labeled  
"Box AF"]

**(703)746-7048** [Informal/Draft communications, labeled  
"PROPOSED" or "DRAFT"]

Hand delivered responses should be brought to Crystal Park 5, 2451 Crystal Drive, Arlington, VA, 22202, 7<sup>th</sup> floor receptionist.



Susanna M. Diaz  
Primary Examiner  
Art Unit 3623  
September 16, 2004

FORM PTO-1449 (Modified)  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	ATTY. DOCKET NO. YO9-99-496	SERIAL NO. Unassigned
	APPLICANT: R. Baseman et al.	
	FILING DATE: Concurrently	GROUP: Unassigned

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
SMD	5,953,707	09-14-99	Huang et al.			

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

SMD		Hodder, J. et al., "Plant Location Modeling for the Multinational Firm", in Proceedings of the Academy of International Business Conferences on the Asia-Pacific Dimension of International Business. Honolulu. 1982.
		Cohen, M.A., et al., "Resource Deployment Analysis of Global Manufacturing and Distribution Networks", Journal of Manufacturing and Operations Management. Vol. 2, pp. 81-104. 1989.
		Hodder, J., "Financial Market Approaches to Facility Location under Uncertainty", Operations Research, Vol. 32, pp. 1374-1380. 1984.
		Hodder, J., et al., "A Simple Plant-Location Model for Quantity-Setting Firms Subject to Price Uncertainty", European Journal of Operational Research, Amsterdam, Vol. 21, pp. 39-46. 1985.
		Rutenberg, D., "Maneuvering Liquid Assets in a Multi-National Company: Formulation and Deterministic Solution Procedures", Management Science, Vol. 16, No. 10, pp. 671-684, June, 1970.
		Breitman, R.L., et al., "PLANETS: A Modeling System for Business Planning", Interfaces, pp. 94-106, January-February, 1987.
		Amzen, B.C., et al., "Global Supply Chain Management at Digital Equipment Corporation", Interfaces, pp. 69-93, January-February, 1995.
		SAP AG, "SAP's Supply Chain Management Initiative - Information, pub. date unknown, web pages from <a href="http://www.sap.com">http://www.sap.com</a>
		SAP AG, "R/3 System Financial", pub. date unknown, web pages from <a href="http://www.sap.com">http://www.sap.com</a>
		Baan Company NV, pub. date unknown, web pages from <a href="http://www2.baan.com">http://www2.baan.com</a>
		Oracle, "Oracle Applications", pub. date unknown, web pages from <a href="http://oracle.com">http://oracle.com</a>
		IBM, "New Oracle Tools Tap ERP's Potential", pub. date unknown, web pages from <a href="http://itirc.ibm.com">http://itirc.ibm.com</a>
		Author unknown, "Oracle Releases Strategic Enterprise Management", pub. date unknown, web pages from <a href="http://www.lahaaland.com">http://www.lahaaland.com</a>
		Gordon, G., "Contribution of Logistics and Supply Chain Management to Shareholder Value", San Antonio, Texas, Sematech, Nov. 1999.
		Schroeder, "Operations Management: Decision Making in the Operations Function" 4th ed., McGraw-Hill, Inc., Pgs. 662-687, 801-848, 1993
V		Stevenson, Production/Operations Management (2nd ed.) Irwin, Pgs 214-236, 1986

EXAMINER <i>S. Diaz</i>	DATE CONSIDERED <i>9/16/04</i>
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered.  
 Include copy of this form with next communication to applicant.